

LABORATORY NOTEBOOK AND RESEARCH DOCUMENTATION PROCEDURE

The Laboratory Notebook and Research Documentation Procedure sets forth guidelines for proper documentation, maintenance, capture, and storage of Ames Laboratory research. This will ensure that work performed at the Laboratory can be studied and replicated by future generations. It will also protect the intellectual property rights of the Laboratory and its researchers.

1.0 APPROVAL RECORD

- Reviewed by: Training & Documents QA Coordinator (Molly Granseth)
- Reviewed by: Mike McGuigan, ESH&A Health Physicist
- Approved by: Interim Manager, Human Resources (Lynnette Witt)
- Approved by: Chief Operations Officer (Mark Murphy)
- Approved by: Intellectual Property Coordinator (Stacy Joiner)

The official approval record for this document is maintained in the Training & Documents Office, 105 TASF.

2.0 REVISION/REVIEW INFORMATION

The revision description for this document is available from and maintained by the author.

3.0 PURPOSE AND SCOPE

The purpose and scope of this procedure is to implement the requirements of DOE O 243.1, *Records Management Program* as it applies to any research documentation produced at the Ames Laboratory.

4.0 ROLES AND RESPONSIBILITIES

4.1. Records Management (RM) Staff

Records Management staff will make available to researchers and other staff this procedure and the Laboratory's [Guidelines for Preparing and Maintaining a Research Notebook](#) (Guide 48202.001) and will work with the Training Office to provide training for researchers regarding laboratory notebooks and research documentation.

RM staff will also supply barcodes for storeroom personnel to affix to each notebook distributed, and will scan notebooks when they are turned in to the Records Management Office. Notebooks will be indexed, tracked and archived by RM staff, and checked out to researchers as requested.

4.2. Researchers and Scientific Staff

Researchers are responsible for preparing and maintaining lab notebooks according to the Laboratory's guidelines, and for turning in notebooks to the Records Management Office upon completion or when checking out of the Laboratory. Research staff will also complete Laboratory Notebook and Research Documentation Training (AL-219).

Proper precaution should be taken to safeguard laboratory notebooks and other research documentation. Paper notebooks should be kept in a controlled access room or cabinet. Electronic research documentation should be maintained on the Laboratory's shared file server, which is equipped with permission controls and remotely

backed up periodically.

4.3. Sponsored Research Administration (SRA) and Intellectual Property (IP) Coordinator

The SRA and IP Coordinator will work with researchers and scientific staff to ensure adequate documentation of potential intellectual property. The SRA Office will advise RM staff regarding potential changes in the IP environment that may affect this procedure, prompting revisions as necessary.

4.4. Storeroom Personnel

Storeroom personnel will affix barcode stickers and copies of the [Guidelines for Preparing and Maintaining a Research Notebook](#) to all lab notebooks purchased by researchers, and will record the name and employee number of each researcher who purchases a notebook, along with the notebook's barcode number.

4.5. Radiation Safety Personnel

Health Physics personnel are responsible for conducting radiological surveys of lab notebooks that have been potentially exposed to radioactive materials. As part of the employee checkout process researchers submit notebooks to RM. They are asked if they used radioactive materials in their research. If the answer is yes the Health Physics group, (HPG) is contacted to request a survey. HPG will label notebooks with a survey status label and document survey findings. All survey documentation is maintained by HPG.

4.6. Laboratory Notebook Borrowers

Staff who borrow laboratory notebooks are responsible for preserving the integrity of the information within and returning the notebooks to the Records Management Office when they are no longer needed or when they check out of the Laboratory.

5.0 PREREQUISITE ACTIONS AND REQUIREMENTS

RM staff will provide unique barcodes to storeroom personnel to be affixed to lab notebooks. Storeroom personnel will purchase lab notebooks from the approved vendor and affix barcodes and copies of the Guidelines for Preparing and Maintaining a Research Notebook to all notebooks. The guide and this procedure are available on the [Ames Laboratory Forms and Documents web page](#). Storeroom personnel will also record each notebook's barcode and the name and employee number of the purchaser. RM staff will obtain the data recorded by storeroom personnel regarding the locations and owners of lab notebooks on a regular basis, and will enter this information into a tracking system. RM staff in conjunction with IP and Training staff will provide training to researchers on a regular basis regarding this procedure, the guide, and other basic components of research documentation best practices.

6.0 PROGRAM/POLICY/PROCEDURE INFORMATION

6.1. Maintaining and Tracking Lab Notebooks

Researchers will maintain notebooks according to the [Guidelines for Preparing and Maintaining a Research Notebook](#). When notebooks are full, research projects are completed, or researchers leave the Laboratory (whichever comes first), notebooks will be turned in to the Records Management Office.

7.0 POST PERFORMANCE ACTIVITY

Once notebooks are turned in, Health Physics personnel will survey notebooks that may be contaminated with radiation when requested by RM staff. HPG maintains custody of all radiologically contaminated notebook. Contaminated notebooks are stored in a separate holding area. These notebooks may or may not be scanned depending upon the type and level of contamination. RM staff will scan each notebook and upload the file to the Laboratory's electronic content management system. Scans will be checked for quality and notebooks will be indexed and stored in the Records Holding Area or returned to another researcher as requested. Digital copies of notebooks may be obtained from the RM office. RM staff will also track the location of all lab notebooks and maintain a record of notebooks checked out to Ames Laboratory staff.

8.0 References

[Guidelines for Preparing and Maintaining a Research Notebook](#)